

Purpose

The purpose of this policy is to define the role of the Utah Department of Transportation (UDOT), the Utah Division of Aeronautics (UDOA) and other federal, state and local agencies in developing and maintaining a Statewide Airport System Plan and a Statewide Capital Improvement Program (SCIP) for public-use airports in Utah. Further, the purpose of this policy is to establish guidelines and responsibilities for airport system planning, for the development of the SCIP and for airport project completion.

Policy

The Federal Aviation Administration (FAA), in Advisory Circular 150/5050-3B, *Planning the State Aviation System*, defines state airport system planning as the process which results in the documentation of the airport (including heliport and float plane facilities) and airport related facilities needed to meet the current and future air transportation needs of the state. It identifies the aeronautical role of existing and recommended new airports. It describes the development required at each, including time frames and estimated costs. State system planning is accomplished within a comprehensive planning framework, consistent with state goals and objectives for economic development, transportation, land use and the environment. It incorporates metropolitan/regional airport system planning and provides direction for airport master planning. Finally, it serves as an important component of the FAA's National Plan of Integrated Airports System (NPIAS).

The purpose of state airport system planning, described in its broadest sense, is to determine the extent, type, nature, location and timing of airport development needed in the state to establish a viable, balanced and integrated system of airports. The airport development included in a state plan should not be limited to those items of development eligible for federal financial aid. Many activities undertaken in the planning process are directly or indirectly related to implementation. The plan should give appropriate consideration to the desires of the local airport operators and elected officials.

Within the state of Utah, UDOT has overall responsibility for coordinating, developing and maintaining a Statewide Airport System Plan and an SCIP for all public-use airports. The UDOA is the division within UDOT which has responsibility for all aeronautical and aviation-related transportation issues which impact the citizens of Utah. Therefore, UDOA takes the lead within UDOT in developing the Statewide Airport System Plan and the related SCIP. The Salt Lake City Airport Authority (SLCAA) owns and operates the Salt Lake City International Airport (SLCIA). SLCIA has a full staff to do all required system planning for activities at that airport. Therefore, UDOA's role in relation to the SLCIA is primarily advisory, and the planning efforts of the SLCIA staff are integrated into the system planning conducted by UDOA.

The Statewide Airport System Plan consists of two separate plans: (1) the Metropolitan Airports System Plan (MASP), which is developed by the Wasatch Front Regional Council (WFRC) and applies to public-use airports located within the area of responsibility of the WFRC; and (2) the Utah Continuous Airports System Plan (UCASP), which is developed by UDOA and applies to all other public-use airports throughout the remainder of the state. Together, these two plans provide for the orderly and timely development of a system of airports to meet the present and future needs of the State of Utah. The MASP and the UCASP are continuously updated. Together, they identify existing characteristics, roles and needs for all of Utah's public-use airports for the succeeding 20 years.

The SCIP is a five year capital investment program for all Utah airports. The SCIP identifies and prioritizes projects at each public-use airport by federal fiscal year; however, the SCIP is fiscally constrained to the amount of federal and state funding appropriated in a given year. The SCIP is the UDOT program for implementing both the MASP and the UCASP.

The SCIP is prepared in cooperation with federal, state and local agencies and encompasses all public-use airports in Utah. It establishes priorities for airport planning, construction, improvement and maintenance necessary to meet national, statewide, regional and local objectives. This cooperative planning process ensures that development and maintenance projects for public-use airports in the state are centrally coordinated to best serve the transportation, communication and economic needs of all of the citizens of Utah.

Public-use airports located in and adjacent to urbanized areas require close coordination to ensure compatibility of the airport with other urban development. UDOT recognizes that the WFRC, working in cooperation with the Mountainland Association of Governments (MAG) and local jurisdictions, has primary responsibility for aviation system planning in the metropolitan area of the state influenced by the SLCIA. This includes the counties of Davis, Morgan, Salt Lake, Summit, Tooele, Utah, Wasatch and Weber, and the Brigham City Airport in Box Elder County. The WFRC is the primary point of contact in coordinating with SLCIA staff members and in integrating their efforts into the Statewide Airport System Plan. UDOT's primary responsibility to the WFRC is to provide technical and policy support to their planning process. WFRC prepares the annual update to the MASP, which documents airport capital needs and coordinates the inputs from each airport's Airport Development Plan (ADP), which identifies specific development and maintenance projects needed at that airport over a rolling five year period to enable that airport to remain viable within the MASP. It draws on input from a variety of sources, including airport sponsors and their consultants, Joint Planning Conferences at NPIAS airports, airport master plan updates, airport layout plan (ALP) updates, and review by WFRC technical committees.

UDOA has primary responsibility for aviation system planning and program development for all other municipalities in Utah. This division, in coordination with local sponsors, consultants, airport managers and users, prepares the annual update to the UCASP, which documents airport capital needs for all public-use airports in Utah outside the WFRC area. Similar to the MASP, changes to the plan are based on Joint Planning Conferences at NPIAS airports, UDOT surveys, airport master plan updates, ALP updates and coordination with airport sponsors. UDOA also coordinates the inputs from each airport's ADP, which identifies the specific projects needed at that airport over a rolling five year period to enable that airport to remain viable within the UCASP.

Both the MASP and the UCASP must provide the background for capital investment in Utah airports by defining the role of each airport and its relationship to the community. Forecasts which show aviation demand and community growth are used to identify future capital needs. Any unique features of the airport which are important to the community must also be identified. The overall purposes of the UCASP and the MASP are to provide the necessary background to make informed decisions for capital investment in Utah airports.

UDOA coordinates with the WFRC to integrate airport development information contained within the metropolitan plan and the state plan into a single comprehensive planning document called the Statewide Capital Improvement Program (SCIP) for Public-Use Airports.

The SCIP identifies all federal and state funding sources available within each airport category: (1) Primary Commercial Service; (2) Commercial Service; (3) Reliever; and (4) General Aviation airports. It documents the planning, construction, development and maintenance projects for each airport, and then prioritizes projects across all airport classifications into a single prioritized list sorted by federal fiscal year. It programs federal and state funding to meet project needs according to established priorities identified in the SCIP. The programming process which results in the SCIP programs funding for airport projects at all airports except Primary Commercial Service airports. The federal funding category which funds projects for NPIAS airports in the other three airport categories is called the State Apportionment, which is part of the FAA Airport Improvement Program (AIP). Projects at Primary Commercial Service airports, which are funded with federal AIP entitlement funds, Passenger Facility Charge (PFC) revenues or other airport revenues, are identified in the SCIP for information purposes only; these projects are not subject to the prioritization process within the SCIP. These federal AIP entitlement funds, PFC revenues and other revenues can only be spent by the respective primary airports, and project priority decisions are made by the airport sponsor in coordination with the FAA Airports District Office (ADO). State matching funds proportional to the federal AIP entitlement funding may be requested for these projects.

The SCIP is formatted to conform to the FAA NPIAS CIP and the Statewide Transportation Improvement Plan (STIP). It supports the Intermodal Surface Transportation Efficiency Act (ISTEA) by providing necessary coordination with other transportation projects.

Development projects selected for inclusion in the SCIP at the non-Primary Commercial Service airports in the NPIAS are funded primarily by federal AIP grants, matching state grants and local funds. Airport sponsors submit a project request and an application for federal and state grants for eligible projects included in the SCIP to the FAA ADO and to UDOA. Airports that are not identified within the NPIAS are not eligible to receive federal grants, so for projects at those airports, the sponsors submit only the project request and state grant application to UDOA. Project requests are reviewed by the Aeronautical Committee and their recommendations are forwarded to the Utah Transportation Commission for approval or disapproval. When Transportation Commission approval is given, the grants are issued by the FAA and UDOA in the amounts allocated in the SCIP. Following completion or at appropriate milestones during the project, federal and state funds are disbursed to the airport sponsor by UDOA in accordance with the grant agreements. UDOA passes through all federal AIP grant funds provided by the FAA and disburses appropriate matching state funds to those projects. Likewise, UDOA disburses state grant funds to airport sponsors for approved maintenance projects, planning projects and development projects at non-NPIAS airports.

Background

The Airport and Airway Improvement Act (49 CFR, Chapter 31, Sections 2201 and 2208) establishes the relationship between States and the Federal Aviation Administration with respect to transportation planning and the submission and approval of grant applications.

The Federal Airport Funds Act (Utah Code, Section 2-3-3) requires that all requests for federal aid from public airport sponsors be approved by the UDOT Division of Aeronautics and that all federal funds be received and disbursed by the Division, acting as agent for the public sponsor.

The statewide system of public-use airports is a key element of the Utah transportation system. These airports are vital for the transportation, public health, safety, communication and economic growth of Utah.

Similar to the state highway system, Utah's public-use airports rely upon federal and state financial support for major capital development projects. The above cited federal and state statutes provide for grants-in-aid to public-use airport sponsors to fund eligible projects.

Definitions

Airport Improvement Program (AIP)

A federal program administered by the FAA which provides grants-in-aid and other federal assistance to airports in the NPIAS

Airport Layout Plan (ALP)

A multi-level engineering scale drawing of an airport which conforms to FAA standards and shows current features and planned development.

Airports District Office (ADO)

A field office of the Airports Division of the FAA which serves airports in a multi-state area. The Denver ADO manages the federal AIP in Utah.

Capital Improvement Program (CIP)

A five-year capital investment program managed by the FAA which allocates federal funds to approved projects at NPIAS airports.

Federal Aviation Administration (FAA)

An agency within the Federal Department of Transportation with responsibility for all aviation and aviation-related matters. In the context of this policy, the FAA has responsibility for administering all aspects of the federal AIP.

Metropolitan Airports System Plan (MASP)

A 20-year plan prepared by the WFRC covering those public-use airports in the urbanized area of the state influenced by the Salt Lake City International Airport. This is the primary document which defines the functions and development needs of the airports in this urbanized area.

National Plan of Integrated Airports System (NPIAS)

A federal airport plan identifying airports with associated data which meet certain FAA criteria and are considered nationally significant. Only airports in the NPIAS are eligible for federal aid.

State Airport System Planning

The process which results in the documentation of the airport (including heliport and float plane facilities) and airport related facilities needed to meet the current and future air transportation needs of the state.

Statewide Capital Improvement Program (SCIP)

A 5-year program identifying development and maintenance projects for public-use airports in Utah. It consists of a list of all projects, categorized by federal fiscal year, funding source and estimated cost.

Utah Continuous Airports System Plan (UCASP)

A 20-year plan prepared by UDOA covering those public-use airports in the non-urbanized area of the state that are not covered by the WFRC in their MASP. The UCASP is the primary document which defines the functions and development needs of the remainder of the public-use airports in Utah.

Utah Division of Aeronautics (UDOA)

The division within UDOT responsible for management of all federal AIP and state aviation funds, disbursal of state aviation fuel tax revenues, review and approval of capital projects, inspection and certification of public-use airports in Utah, operation and maintenance of state-owned air navigation facilities, maintenance of all state-owned fixed wing aircraft and operation of department-owned aircraft to provided transportation services to state government organizations and individuals. This Division prepares the UCASP and compiles the SCIP.

Wasatch Front Regional Council (WFRC)

The association of governments representing cities and counties in the Salt Lake City-Ogden Urbanized Area. The WFRC prepares the MASP and coordinates with UDOA on the SCIP for all public-use airports within its jurisdiction. It is designated as the Metropolitan Planning Organization (MPO) for this area. The WFRC represents the Mountainland Association of Governments, the MPO for the Provo-Orem urbanized area, in aviation matters.

Procedures

Airport System Planning

UDOT 06D-2.1

Responsibility: Airport Sponsors

Actions

1. Establish locally-oriented goals and objectives with respect to airport development and the relationship to economic development, transportation infrastructure, land use and environmental concerns.
2. Establish local aviation-oriented objectives regarding safety, efficiency, level of service and economic self-sufficiency.
3. Update Airport Master Plans and associated Airport Layout Plans periodically to ensure that those plans reflect the goals and objectives that the sponsor has for its airport.
4. Through annual updates to their Airport Development Plan, keep UDOA apprised of the resources which they require to maintain their airport facilities and to meet their planning goals and objectives.

Responsibility: Utah Division of Aeronautics

5. Establish goals and objectives at the state level with respect to airport development and the relationship to economic development, transportation infrastructure, land use, environmental concerns and aviation safety.
6. Prepare an annual update to the UCASP, incorporating inputs from the airport sponsors, which reflect the goals and objectives set at the state level.

Responsibility: Wasatch Front Regional Council

7. Prepare an annual update to the MASP, also incorporating inputs from the airport sponsors of the airports in their area of responsibility, which reflect the transportation goals and objectives of the metropolitan region and the state.

Responsibility: Utah Division of Aeronautics

8. Provide individual airport sponsors with state budgetary policy and fiscal constraints, and with technical direction for airport master planning.
9. Provide a management and coordinative resource to the WFRC for metropolitan and regional planning.

10. Provide the FAA with recommendations for inclusion in the NPIAS.
11. Conduct special studies and activities to provide the aviation community and the general public with appropriate information on pertinent aviation issues.
12. Conduct special data collection programs of a continuing nature, specifically for use in airport planning, including the collection of wind data, the collection of pavement surveys, and the collection of activity data at non-towered airports through manned or mechanical/acoustical/electronic means.

Statewide Capital Improvement Program (SCIP)

UDOT 06D-2.2

Responsibility: Utah Division of Aeronautics

Actions

1. Provide the information contained in the Statewide Capital Improvement Program (SCIP) for Public-Use Airports in Utah on a continuing basis to the FAA Denver ADO. This information is the basis for the federal NPIAS CIP which is used by the FAA to allocate state apportionment funding to selected airport development projects at NPIAS airports.
2. Coordinate with airport sponsors and with the Denver ADO on a continuously ongoing basis to ensure that all agencies are using the same information in programming funding for capital improvements at Utah's public-use airports.
3. Maintain the SCIP current as changes in funding levels, project schedules and projects occur.
4. Initiate the annual revision to the SCIP by soliciting Airport Development Plan (ADP) inputs from each public-use airport sponsor in the state annually. The request for ADP updates will be sent out by 1 April of each year and will request project proposals for their airport for years two through five of the next year's SCIP, i.e., a request for ADP updates will be sent out by 1 April 1998 for project proposals for years two through five of the FY1999 SCIP, which will include projects they would like to see funded at that airport during federal fiscal years 2001 through 2004. The suspense date for receipt of ADP inputs back to UDOA each year is 1 May.

Responsibility: Airport Sponsors

5. Prepare and update their Airport Development Plan annually in accordance with the instruction contained in Chapter 4 of the *Utah Department of Transportation Guidebook for the Statewide Capital Improvement Program (SCIP) for Public-Use Airports* (Hereinafter referred to as the *Guidebook*).
6. Respond to the annual request from UDOA for ADP inputs by submitting their project proposals in accordance with the request no later than 1 May of each year.

Responsibility: Utah Division of Aeronautics

7. Prepare the annual update to the SCIP. ADP project inputs for years two through five of next year's SCIP are received from the airport sponsors by 1 May of each year. These projects are merged into the existing SCIP. All projects are prioritized in accordance with the priority system outlined in Chapter 8 of the *Guidebook*. The SCIP is updated to the next fiscal year in draft form in accordance with Chapter 4 of the *Guidebook*. Anticipated federal and state funding amounts will be applied to each fiscal year, and funding for projects will be programmed in accordance with this anticipated funding according to project priorities. Individual adjustments to selected projects may be made subjectively, when there is a logical reason for deviating from the priority system. This is an interactive process which involves frequent discussions with airport sponsors and with the FAA Denver ADO. The resulting product is an updated SCIP, no longer in draft form, although still subject to change as a continuous working document.

8. Submit the SCIP to the FAA Denver ADO as the five-year plan update to the NPIAS no later than 1 June of each year.

Completing an Airport Improvement Project

UDOT 06D-2.3

Responsibility: Utah Division of Aeronautics

Actions

1. With each annual update to the SCIP, recommend to the FAA ADO that those airport development projects at NPIAS airports which have been selected for inclusion in the SCIP be included in the five-year NPIAS and the ACIP. Identify recommended projects that would be appropriate to receive discretionary funding, should such funding become available.

Responsibility: Federal Aviation Administration Airports District Office

2. Include airport development projects at NPIAS airports which have been selected for the five-year NPIAS in the ACIP. Coordinate with the airport sponsors for ACIP projects between one and two years prior to the anticipated funding year and commencement of work.

Responsibility: Airport Sponsor

3. Between one and two years prior to the funding year and commencement of work on projects that are included in the FAA ACIP and/or the SCIP, plan to complete preliminary project activities, i.e., any necessary environmental land acquisitions and getting the project ready to bid.
4. As soon as funding is confirmed by the FAA ADO and/or UDOA, be prepared to submit a grant application for the project.

Responsibility: Utah Division of Aeronautics/Federal Aviation Administration Airports District Office

5. As soon as funding for the appropriate fiscal year in which the project is to be funded has been confirmed, notify the airport sponsor that funds have been allocated to the project. If discretionary funds become available for the project, notify the airport sponsor and request immediate submission of a grant application.

Responsibility: Airport Sponsor

6. When notified of the availability of funding, submit applications for Federal grants to the FAA ADO, with a copy to UDOA. Submit applications for state grants for development projects at non-NPIAS airports and for all state funded maintenance projects to UDOA.

7. When unforeseen project needs of an emergency nature arise, i.e., there is insufficient time available to go through the normal project programming and selection process, coordinate with both the FAA ADO and UDOA prior to submitting a grant application.

Responsibility: Utah Division of Aeronautics

8. Upon receipt of a federal or state project grant application, review the application for accuracy, reasonableness, inclusion of the project in the SCIP and confirmation of the available/allocated funding.
9. If appropriate, have UDOT Consultant Services review the application for verification of reasonable engineering costs.
10. Present the project to the next meeting of the Utah Transportation Commission for approval.
11. Issue the state Grant Agreement and/or Cooperative Agency Agreement for approved projects to the airport sponsor for signatures.

Responsibility: Airport Sponsor

12. Return the signed copies of the Grant Agreement and/or Cooperative Agency Agreement to UDOA.

Responsibility: Utah Division of Aeronautics

13. Upon receipt of the signed copies of the agreements, process them through state channels for appropriate coordination and signatures.
14. Return completed copies of all agreements with all signatures to the airport sponsor.

Responsibility: Airport Sponsor

15. Upon notification from UDOA and/or the FAA ADO, as appropriate, proceed with the project.

16. The airport sponsor has full responsibility and control over bidding, contractor selection and construction management within the guidelines of appropriate grant agreements and assurances. As soon as approval for the project has been given by the Utah Transportation Commission, the sponsor may begin to conduct bidding and contractor selection. However, construction may not begin, nor may disbursement of grant funding for any work be requested prior to notification from UDOA and/or the FAA ADO to proceed with the project.

17. The sponsor is responsible for quality control of the project. The sponsor may be assisted by staff or consulting engineers. Failure of the sponsor to ensure quality control could affect eligibility for project payment.

Responsibility: Utah Division of Aeronautics/Federal Aviation Administration
Airports District Office

18. UDOT inspectors and/or FAA ADO project managers may periodically visit the project during construction.

Responsibility: Airport Sponsor

19. Should significant problems occur during the construction phase, notify UDOA and the FAA ADO.

Responsibility: Utah Division of Aeronautics/Federal Aviation Administration
Airports District Office

20. Upon becoming aware of a significant problem with the project, provide assistance in resolving the problem.

Responsibility: Airport Sponsor

21. For federally funded airport development projects, sponsors with approved accounting systems under OMB A-128 may request project funding via letter of credit from the FAA. If approved for this method of payment, the sponsor is responsible for all project accounting.

22. If approved for funding via FAA letter of credit, submit payment requests upon completion of the project or progress payment requests upon completion of significant milestones directly to UDOA.

23. If not approved for funding via FAA letter of credit, submit requests for progress payment or reimbursement directly to the FAA ADO using *Standard Form 270* (non-construction projects) or *Standard Form 271* (construction projects), with a copy of the payment request sent directly to UDOA. Block 10 of *Standard Form 270/271* must show the payee as:

(Sponsor)/Utah Department of Transportation, Division of Aeronautics
135 North 2400 West
Salt Lake City, UT 84116

24. For projects where funding includes a state grant but no federal grant, payments will normally be requested upon completion of the project. Requests for payment are made in writing, with attached invoices and documentation of all costs incurred by the project for which payment is being requested. For large projects, partial payments may be requested as project phases are completed.

Responsibility: Utah Division of Aeronautics

25. In accordance with Utah Code 2-3-3 (2), all AIP payments must flow through UDOA to the public sponsor. For federally funded airport development projects, where an FAA letter of credit has been approved, UDOA will process payment to the sponsor for the federal share through the State Treasurer's office upon receipt of the payment request. Where no FAA letter of credit has been approved, UDOA will process payment to the sponsor for the federal share through the State Treasurer's office upon receipt of the payment from the FAA.

26. When processing of payment for the federal share, UDOA will also process payment of the state matching funds, when applicable, for payment to the sponsor.

27. For projects where funding includes a state grant but no federal grant, payment to the sponsor will be processed upon receipt of the payment request, including required documentation. Under no circumstances will payments under UDOA grants exceed the amount approved in the grant.

Responsibility: Airport Sponsor

28. Upon completion of the project funded with a federal grant, coordinate with the FAA ADO to initiate close-out actions.

29. For state grant projects, upon completion of the project, notify UDOA.

Responsibility: Utah Division of Aeronautics

30. After notification from the FAA ADO of project close-out, UDOA will close out the project and terminate the job documents.

31. Upon notification of completion of a state grant project, accomplish a final inspection of the project. After a satisfactory inspection and upon receipt of a proper request from the sponsor, make final payment of the UDOA share of the project based upon total documented costs, not to exceed the amount approved in the grant. The project will then be closed out and the job documents terminated.